

**DECLARATION
Utility Application**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **MULTI-LAYER THIN FILM OPTICAL FILTER ARRANGEMENT** the specification of which

(Check One)

☐

is attached hereto OR

☒

was filed on January 25, 2001 as United States Application Serial No. 09/771,444 or PCT International Application No. _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Date of Filing	Priority Claimed	
			Yes	N

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date	Status-Patented, Pending or Abandoned

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name Samuel	MIDDLE Initial F.	LAST Name Pellicori	
	RESIDENCE & CITIZENSHIP	City Santa Barbara	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	2651 Dorking Place	City Santa Barbara	State or Country California	Zip Code 93105
INVENTOR'S SIGNATURE		<u>Samuel F. Pellicori</u>		DATE <u>6-21-01</u>	

202	FULL NAME OF INVENTOR	FIRST Name Scott	MIDDLE Initial	LAST Name Berrum	
	RESIDENCE & CITIZENSHIP	City Manhattan Beach	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	416 7th Street	City Manhattan Beach	State or Country California	Zip Code 90266
INVENTOR'S SIGNATURE		<u>[Signature]</u>		DATE <u>6/19/2001</u>	

203	FULL NAME OF INVENTOR	FIRST Name Christopher	MIDDLE Initial	LAST Name Donnelly	
	RESIDENCE & CITIZENSHIP	City Manhattan Beach	State or Foreign Country California	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	416 7th Street	City Manhattan Beach	State or Country California	Zip Code 90266
INVENTOR'S SIGNATURE		<u>[Signature]</u>		DATE <u>6/14/2001</u>	

204	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE				DATE	

205	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE				DATE	

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UNITED STATES DEPARTMENT OF COMMERCE
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Washington, D.C. 20231

SEPTEMBER 17, 2001

PTAS



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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/02/2001

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BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
PELLICORI, SAMUEL F.

DOC DATE: 06/21/2001

ASSIGNOR:
BERRUM, SCOTT

DOC DATE: 06/14/2001

ASSIGNOR:
DONNELLY, CHRISTOPHER

DOC DATE: 06/14/2001

ASSIGNEE:
JAX HOLDINGS, INC.
5155 ROSECRANS AVENUE, SUITE 320
HAWTHORNE, CALIFORNIA 90250

SERIAL NUMBER: 09771444
PATENT NUMBER:

FILING DATE: 01/25/2001
ISSUE DATE:

RECEIVED

SEP 27 2001

PROSECUTION

011957/0304 PAGE 2

MARY BENTON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

FORM PTO-1595
1-31-92

Docket No. 259/150

To the Honorable Commissioner of Patents and Trademarks. Please return the enclosed original documents or copy thereof.

1. Name of conveying party(ies):
Samuel F. Pellicori, Scott Berrum, Christopher Donnelly
Additional name(s) of conveying party(ies) attached?
☐ Yes ☒ No

3. Nature of conveyance:
☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____
Execution Date: June 21, 2001

07-12-2001



101774236

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Sector #

2. Name and address of receiving party:
Name: JAX HOLDINGS, INC.

Internal Address: _____

City: _____ State: _____ Zip: _____

Street Address: 5155 Rosecrans Avenue, Suite 320

City: Hawthorne State: CA Zip: 90250

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):
If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/771,444

B. Patent No(s): _____

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:
Name: David A. Randall

Internal Address: LYON & LYON LLP
633 West Fifth Street, Suite 4700
Los Angeles, CA 90071-2066

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed

☒ Charge this Deposit Account if any additional fee is required

8. Deposit Account Number: 12-2475

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9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

David A. Randall, Reg No. 37,217

Date: June 28, 2001

Total number of pages including cover sheet: 6

OMB No. 0651-0011 (exp. 4/94)

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Mail documents to be recorded with required cover sheet information to:

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ASSIGNMENT OF PATENT APPLICATION

WHEREAS, WE, Samuel F. Pellicori, a citizen of the United States, Scott Berrum, a citizen of the United States and Christopher Donnelly, a citizen of the United States (hereinafter referred to as "ASSIGNORS"), have invented a certain invention entitled MULTI-LAYER THIN FILM OPTICAL FILTER ARRANGEMENT for which application for Letters Patent of the United States of America was filed on January 25, 2001 under Attorney Docket No. 259/150 and assigned United States Application Serial No. 09/771,444; and

WHEREAS, JAX HOLDINGS, INC., a corporation organized and existing under and by virtue of the laws of the State of Delaware, and having its place of business at 5155 Rosecrans Avenue, Suite 320, Hawthorne, California 90250 (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign, transfer and set over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and ASSIGNORS hereby authorize and request the United States Commissioner of Patents and

Trademarks and any officials of foreign countries whose duty it is to issue patents or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

ASSIGNORS hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNORS further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNORS and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and

said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

WITNESS my hand at 555 W. Rosecrans Ave Hawthorne 90250
California, this 21 day of June, 2001.

Samuel F. Pellicori
Samuel F. Pellicori

STATE OF CALIFORNIA)
) ss
COUNTY OF LOS ANGELES)

On June 21, 2001, before me, Leslie Hendricks, personally appeared
Samuel F. Pellicori

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Leslie Hendricks
Notary Public in and for said County and State

WITNESS my hand at Scott Berrum 5155 W. ROSEBOW AVE
HAUNTING, CA 90250
California, this 14 day of June, 2001.

Scott Berrum
Scott Berrum

STATE OF CALIFORNIA)
) ss
COUNTY OF LOS ANGELES)

On ^{LA} June 14, 2001 before me, Leslie Hendricks, personally appeared
Scott Berrum


☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.



Leslie Hendricks
Notary Public in and for said County and State

WITNESS my hand at CHRIS DONNELLY 5155 ROSECRAWS HARTHORNE, GA
California, this 14th day of JUNE, 2001.

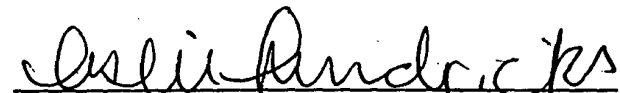

Christopher Donnelly

STATE OF CALIFORNIA)
) ss
COUNTY OF LOS ANGELES)

On June 14, 2001 before me, Leslie Hendricks, personally appeared
Christopher Donnelly

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.


Notary Public in and for said County and State

